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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 2

Complete if Known	
Application Number	09/412,408
Filing Date	October 5, 1999
First Named Inventor	Kevin Foley et al.
Group Art Unit	2761
Examiner Name	Not yet assigned
Attorney Docket Number	3524/4

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	U.S. Patent Document Number	Kind Code[2] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		3,573,747		Adams et al.	04/06/71	
		3,581,072		Nymeyer	05/25/71	
		4,412,287		Braddock, III	10/25/83	
		4,674,044		Kalmus et al.	06/16/87	
		4,903,201		Wagner	02/20/90	
		5,038,284		Kramer	08/06/91	
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		5,727,165		Ordish et al.	03/10/98	
		5,873,071		Ferstenberg et al.	02/16/99	
		5,905,974		Fraser et al.	05/18/99	

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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Foreign Patent Document Office[3]	Number[4]	Kind Code[5] (if known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
		PCT	WO 98/13778		Martyn et al.	04/02/1998		

Examiner Signature		Date Considered	4/08/02

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[1] Unique citation designation number. [2] See attached Kinds of U.S. Patent Documents. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 2

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Application Number	09/412,408
Filing Date	October 5, 1999
First Named Inventor	Kevin Foley et al.
Group Art Unit	2761
Examiner Name	Not yet assigned
Attorney Docket Number	3524/4

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
		"The AutEx Group Delivers Internet-Accessed Equity Trading Data," February 17, 1998 http://www.autexgroup.com/press0298.htm	
		"AUTEX+Service Overview," http//www.autexsys.com/about.htm	
		"Virtual Trading," Richard Burdge, January/February 1999, http://reuters.co/magazine/janfeb99/fea.htm	
		"What You Need To Know About ATSs," J. Christopher Giancarlo, December 1998, eSecurities, Vol. 1, No. 4	
		"Bloomberg builds a bigger black box," R. Scott Raynovich, May 21, 1999, http://www.redherring.com/insider/1999/0521/inv-bloomberg.html	
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		"Smal ECN's Next Giant Target," Shailaja Sneelakantan, June 24, 1999, Trading & Technology	
		"Bloomberg and CLSA join forces to form Global Tradebook," May 19, 1999, http:/www.bloomberg.com/products/trdbk.html (Tradebook Press Releases)	
		"Bloomberg and ITG to form `SuperECN', " May 20, 1999, http://www.bloomberg.com/products/trdbk.html (Tradebook Press Releases)	

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